

Please type a plus sign (+) inside this box

4

PTO/SB/08A (10-96)

Approved for use through 10/31/99. OMB 0651-0031

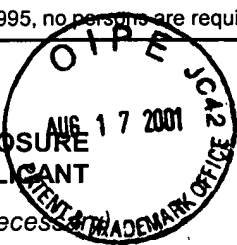
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO
(Modified by BSTZ 6/30/99)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)



Complete if Known

Application Number 09/777,306
Filing Date February 5, 2001
First Named Inventor Hess et al
Group Art Unit 2754
Examiner Name Not Yet Assigned
Attorney Docket Number 003801.P001C3

RECEIVED
AUG 20 2001
Technology Center 2600

U.S. PATENT DOCUMENTS

Examiner Initials *	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
	Number				
✓	3,581,072		Nymayer	5/25/1971	3/28/1968
	3,573,747		Adams, et al.	4/6/1971	2/24/1969
	4,412,287		Braddock, III	10/25/1983	9/15/1982
	4,674,044		Kalmus, et al.	4/16/1997	1/30/1985
	4,677,552		Sibley, Jr.	6/30/1987	10/5/1984
	4,789,928		Fujisaki	12/6/1988	1/30/1987
	4,799,156		Shavit, et al.	1/17/1989	10/1/1986
	4,823,265		Nelson	4/18/1989	5/11/1987
	4,903,201		Wagner	2/20/1990	11/3/1983
	5,063,507		Lindsey, et al.	11/5/1991	9/14/1990
	5,077,665		Sliverman, et al.	12/31/1991	5/25/1989
↓	5,101,353		Lupien, et al.	3/31/1992	5/31/1989



RECEIVED
AUG 20 2001
Technology Center 2600

FOREIGN PATENT DOCUMENTS

Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			
✓	PCT	✓ WO 92/15174	2/25/1992	Beaumont-Maxin International	9/3/1992	
✓	PCT	✓ WO 96/34356	4/26/1996	Fleanet, Inc.	10/31/1996	
✓	PCT	✓ WO 97/37315	3/19/1997	Onsale, Inc.	10/9/1997	

OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
✓	✓ MALONE, TW; YATES, J; et al., "Electronic Markets and Electronic Hierarchies", <u>Communications - of the ACM</u> , June 1987, Pages 484-497, Vol. 30, No. 6, USA	
✓	✓ WARBELOW, A; KOKURYO, J, "Aucnet: TV Auction Network System". <u>Harvard Business School Case Study</u> , July 1989, Pages 1-15, HBVR# 9-190-001, USA	
✓	✓ "Personal Optimized Decision/Transaction Program", <u>IBM Technocal Disclosure Bulletin</u> , January 1995, Pages 83-84, Vol. 38, No. 1, USA	
✓	✓ NEO, BS, "The implementation of an electronic market for pig trading in Singapore", <u>Journal of Strategic Information Systems</u> , December 1992, pages 278-288, Vol 1, No. 5	

Examiner Signature	✓ ✓	Date Considered	1-2-04
-----------------------	-----	--------------------	--------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Please type a plus sign (+) inside this box

PTO/SB/08A (10-96)

Approved for use through 10/31/99. OMB 0651-0031

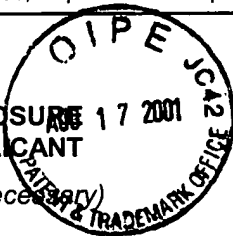
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO
(Modified by BSTZ 6/30/99)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)



Complete if Known

Application Number 09/777,306
Filing Date February 5, 2001
First Named Inventor Hess et al.
Group Art Unit 2754
Examiner Name Not Yet Assigned
Attorney Docket Number 003801.PODIC3

RECEIVED
AUG 20 2001
Technology Center 2100

Sheet 2 of 7

U.S. PATENT DOCUMENTS

Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
W.	5,136,501	Silverman, et al.	8/4/1992	5/26/1989
	5,168,446	Wiseman	12/1/1992	5/23/1989
	5,243,515	Lee	9/7/1993	10/30/1990
	5,258,908	Hartheimer, et al.	11/2/1993	11/2/1990
	5,280,422	Moe, et al.	1/18/1994	11/5/1990
	5,297,031	Guterman, et al.	3/22/1994	3/6/1990
	5,297,032	Trojan, et al.	3/22/1994	2/1/1991
	5,305,200	Hartheimer, et al.	4/19/1994	11/2/1990
	5,325,297	Bird, et al.	6/28/1994	6/25/1992
	5,329,589	Fraser, et al.	7/12/1994	6/3/1993
	5,375,055	Togher, et al.	12/20/1994	2/3/1992
	5,394,324	Clearwater	2/28/1995	12/8/1993



RECEIVED

AUG 20 2001

Technology Center 2600

FOREIGN PATENT DOCUMENTS

Examiner Initials *	Foreign Patent Document	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
W.	Netherland 9300266 2.10.1993			
W.	France 2658635-A1 2.6.1991			
W.	Canada 2,253,543 3/19/1997			Yes

OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
W.	ROCKOFF, TE; GROVES, M., "Design of an Internet-based system for remote Dutch auctions", Internet Research - Electronic Networking Applications and Policy, January 1, 1995, Vol 5, No. 4, Pages 10-16	
W.	MASSIMB, MN; PHELPS, BD, "Electronic Trading, Market Structure and Liquidity", Financial Analysts Journal, January - February 1994, Vol 50, No. 1, Pages 39-50, Charlottesville, Virginia	
W.	POST, DL; COPPINGER, SS, et al., "Application of Auctions as a Pricing Mechanism for the Interchange of Electric Power", IEEE Transactions on Power Systems, August 1995, Pages 7, Vol. 10, No. 3	
W.	HESS, CM; KEMERER, CF., "Computerized Loan Organization System: An Industry Case Study of the Electronic Markets Hypothesis", MIS Quarterly, September 1994, Vol. 18, No 3, Pages 251-274	

Examiner Signature

W. W.

Date Considered

1-2-04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Please type a plus sign (+) inside this box

PTO/SB/08A (10-96)
Approved for use through 10/31/99. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO (Modified by BSTZ 6/30/99) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as needed)		Complete if Known	
		Application Number	09/777,306
		Filing Date	February 5, 2001
		First Named Inventor	Hess et al
		Group Art Unit	2754
Examiner Name	Not Yet Assigned		
Attorney Docket Number	003801.P001C3		
Sheet	3	of	7

U.S. PATENT DOCUMENTS				
Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
VV.	5,426,281	Abecassis	6/20/1995	10/29/1993
	5,553,145	Micali	9/3/1996	8/4/1995
	5,640,569	Miller, et al.	6/17/1997	4/28/1995
	5,664,115	Fraser	9/2/1997	6/7/1995
	5,689,652	Lupien, et al.	11/18/1997	4/27/1995
	5,710,889	Clark, et al.	1/20/1998	6/7/1995
	5,715,402	Popolo	2/3/1998	11/9/1995
	5,717,989	Tozzoli, et al.	2/10/1998	10/13/1994
	5,727,165	Ordish, et al.	3/10/1998	12/27/1994
	5,794,219	Brown	8/11/1998	2/20/1996
	5,818,914	Fujisaki	10/6/1998	3/27/1995
	5,826,244	Huberman	10/20/1998	8/23/1995

FOREIGN PATENT DOCUMENTS							
Examiner Initials *		Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
		Office or Country	Number	Date			

OTHER DOCUMENTS		
Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
VV.	RECK, Martin, "Formally Specifying and Automated Trade Execution System", <u>Journal of Systems and Software</u> , 1993, Pages 245-252, Vol. 21, Elsevier Science Publishing Co., Inc. New York, Ny.	
Vr.	"Anonymous Delivery of Goods in Electronic Commerce", <u>IBM Technocal Disclosure Bulletin</u> , March 1996, Pages 363-366, Vol. 39, No. 3	
VV.	LEE, G., "Electronic Brokerage and Electronic Auction: The Impact of IT on Market Structures", <u>Proceedings of the 29th HICSS</u> , 1996, Pages 397-406, Vol. IV	
VV.	CLEMINES, E; WEBER, B., "Evaluating the Prospects for Alternative Electronic Securities Markets", <u>International Conference on Information Systems</u> , 1991, Pages 53-61, Vol 12	

Examiner Signature	V. VV	Date Considered	1-2-04
--------------------	-------	-----------------	--------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Please type a plus sign (+) inside this box

PTO/SB/08A (10-96)

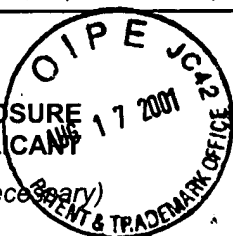
Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO
(Modified by BSTZ 6/30/99)INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)



Complete if Known

Application Number	09/777,306
Filing Date	February 5, 2001
First Named Inventor	Hess et al.
Group Art Unit	2754
Examiner Name	Not Yet Assigned
Attorney Docket Number	003801.P001C3

Sheet 4 of 7

U.S. PATENT DOCUMENTS

Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
✓	5,835,896	Fisher, et al.	11/10/1998	3/29/1996
✓	5,845,266	Lupien, et al.	12/1/1998	12/12/1995
✓	5,850,442	Muftic	12/15/1998	3/26/1996

RECEIVED
AUG 20 2001
Technology Center 2600

RECEIVED
AUG 20 2001
Technology Center 2100

FOREIGN PATENT DOCUMENTS

Examiner Initials *	Foreign Patent Document	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country Number Date			

OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
✓	✓ MARDESICH, J., "Onsale Takes Auction gavel electronic", <u>Computer Reseller News</u> , July 8, 1996, Page 2 continued on Page 32, Mountain View, California.	
✓	"Onsale joins fray as online shopping picks up speed: Internet Booms", <u>Computer Reseller News</u> , June 5, 1995, Page 73, CMP Publications, Inc., USA.	
✓	✓ SIEGMANN, KEN, "Nowhere to go but up", <u>PC Week</u> , October 23, 1995, Page 1-3, Vol. 12, No. 42, Ziff Davis Publishing Company	
✓	✓ Onsale: Onsale Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet retail service debuts with week-long charity auction for the Computer Museum in Boston", May 24, 1995, Pages 3	

Examiner Signature

V. Vn

Date Considered

1-2-04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Please type a plus sign (+) inside this box

PTO/SB/08A (10-96)

Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO
(Modified by BSTZ 6/30/99)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Complete if Known

Application Number	09/777,306
Filing Date	February 5, 2001
First Named Inventor	Hess et al.
Group Art Unit	2754
Examiner Name	Not Yet Assigned
Attorney Docket Number	003801.P001C3

U.S. PATENT DOCUMENTS

Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate

FOREIGN PATENT DOCUMENTS

Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			

OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
✓✓	✓ SCHMID, BF., "The Development of Electronic Commerce", <u>Newsletter of the Competence Centre Electronic Markets</u> , October 1993, No. 9/10	
✓✓	✓ JOSTHEIM, I; EIDE, J., "A case study of an on-line auction for the World Wide Web", <u>Norwegian Computing Center</u> , No Date Given, Pages 1-10	
✓✓	✓ GRAHAM, I., "The Emergence of Linked Fish Markets in Europe", <u>Focus Theme</u> , No Date Given, Pages 1-3	
✓✓	✓ RECK, Martin., "Trasing-Process Characteristics of Electronic Auctions", <u>Focus Theme</u> , No Date Given, Pages 1-7	

Examiner
Signature

✓ ✓

Date
Considered

1-2-04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

+

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

5, no persons are required to be present at the hearing.

OFFICE OF THE CLERK
JUN 17 2001
U.S. PATENT & TRADEMARK OFFICE

(use as many sheets as necessary)

Complete if Known

09/777,306

February 5, 2001

Hess et al.

2754

Not Yet Assigned

003801.P001C3

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

Examiner Initials *		Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
		Office or Country	Number	Date			

OTHER DOCUMENTS

Examiner Initials *		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
W.	✓	VAN HECK, E; RIBBERS, PM., "Experiences with Electronic Auctions in the Dutch Flower Industry", <u>Focus Theme</u> , No Date Given, Pages 1-6	
W.	✓	LEE, HG., "Aucnet: Electronic Intermediary for Used-car Transactions", <u>Focus Theme</u> , No Date Given, Pages 1-5	
W.	✓	KLEIN, S., "Introduction to Electronic Auctions", <u>Focus Theme</u> , No Date Given, Pages 1-4	
W.	✓	TURBAN, E., "Auctions and Bidding on the Internet an Assessment", <u>Focus Theme</u> , No Date Given, Pages 1-5	

$$v, \quad v_n$$

1-2-04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



+

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

5, no persons are required to be present.

OFFICE
AUG 17 2001
SURE
CANT
PATENT & TRADEMARK OFFICE

Complete if Known

Application Number	09/777,306
Filing Date	February 5, 2001
First Named Inventor	Hess et al.
Group Art Unit	2754
Examiner Name	Not Yet Assigned
Attorney Docket Number	003801.P 001C3

Sheet | 7 | of | 7

[illegible]

FOREIGN PATENT DOCUMENTS							
Examiner Initials *		Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
		Office or Country	Number	Date			

OTHER DOCUMENTS		
Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
WV.	✓ ZWASS, VLADIMIR., "Electronic Commerce: Structures and Issues", <u>International Journal of Electronic Commerce</u> , Fall 1996, Pages 3-23, Vol, 1, No. 1	

Examiner Signature	<i>✓. ✓u</i>	Date Considered	<i>1-2-04</i>
-----------------------	--------------	--------------------	---------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Please type a plus sign (+) inside this box

PTO/SB/08A (10-96)

Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO (Modified by BSTZ 6/30/99) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known	
		Application Number	09/777,306
		Filing Date	February 5, 2001
		First Named Inventor	Hess et al
		Group Art Unit	2754
Examiner Name	Not Yet Assigned		
Sheet 1 of 1	Attorney Docket Number	003801.P001C3	

U.S. PATENT DOCUMENTS				
Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
WV	5,205,200	Wright	4/27/93	1/9/92
	5,761,655	Hoffman	6/2/98	3/10/94
	5,905,975	Ausubel	5/18/99	1/2/97
	5,835,896	Fisher et al.	11/10/98	3/29/96
	5,845,265	Woolston	12/1/98	11/7/95
	5,890,138	Godin et al.	3/30/99	8/26/96
	4,789,928	Fujisaki	12/6/1988	1/30/1987
	4,864,516	Gaither et al.	9/5/1989	3/10/1986
	5,706,457	Dwyer et al.	1/6/98	6/7/95
	5,557,728	Garrett et al.	9/17/96	11/22/94
	5,771,380	Tanaka et al.	6/23/98	10/7/96
	5,884,056	Steele	3/16/99	12/28/95

FOREIGN PATENT DOCUMENTS							
Examiner Initials *		Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
		Office or Country	Number	Date			

OTHER DOCUMENTS		
Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No

Examiner Signature	V. Vn	Date Considered	1-2-04
--------------------	-------	-----------------	--------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Please type a plus sign (+) inside this box

PTO/SB/08A (10-96)

Approved for use through 10/31/99. OMB 0651-0031

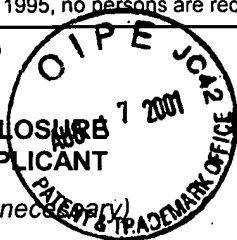
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO
(Modified by BSTZ 6/30/99)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)



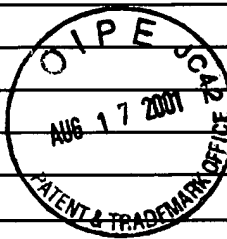
Complete if Known

Application Number	09/777,306
Filing Date	February 5, 2001
First Named Inventor	Hess et al
Group Art Unit	2754
Examiner Name	Not Yet Assigned
Attorney Docket Number	003801.P001C3

Sheet 1 of 1

U.S. PATENT DOCUMENTS

Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
✓	5,884,056	Steele	3/16/99	12/28/95
	5,598,557	Doner et al.	1/28/97	9/22/92
	5,694,546	Reisman	12/2/97	5/31/94
	5,873,069	Reuhl et al.	2/26/99	10/13/95
	5,890,138	Godin et al.	3/30/99	8/26/96
	5,803,500	Mossberg	9/8/98	3/27/97
	5,799,285	Klingman	8/25/98	8/30/96
	5,715,314	Payne et al.	2/3/98	10/24/94
	5,485,510	Colbert	1/16/96	9/1/94
	5,657,389	Houvener	8/12/97	5/8/95
	5,771,291	Newton et al.	6/23/98	12/11/95
	5,872,848	Romney et al.	2/26/99	2/18/97



RECEIVED

AUG 20 2001

Technology Center 2600

FOREIGN PATENT DOCUMENTS

Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			

OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No

Examiner Signature

V. Vh

Date Considered

1-2-04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Please type a plus sign (+) inside this box 

PTO/SB/08A (10-96)

Approved for use through 10/31/99. OMB 0651-0031

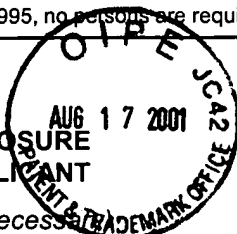
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO
(Modified by BSTZ 6/30/99)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)



Complete if Known

Application Number	09/777,306
Filing Date	February 5, 2001
First Named Inventor	Hess, et al.
Group Art Unit	2754
Examiner Name	Not Yet Assigned
Attorney Docket Number	003801.P 001C3

Sheet 1 of 1

U.S. PATENT DOCUMENTS

Examiner Initials *	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
	Number				
W.	5,922,074		Richard et al.	7/13/99	2/28/97
W.	6,035,402		Vaeth et al.	3/7/2000	12/20/96
W.	6,104,815		Alcorn et al.	8/15/2000	1/9/98
W.	5,760,917		Sheridan	6/2/98	9/16/96

RECEIVED
AUG 20 2001
Technology Center 2600

RECEIVED
AUG 20 2001
Technology Center 2100

FOREIGN PATENT DOCUMENTS

Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			
W.	PCT	WO 99/63461	5/20/99	Dinwoodie	12/9/99	
W.	PCT	US99/18510	10/23/98		8/12/99	
W.	PCT	US00/32088	4/4/2001		11/20/2000	

OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
W.	CHRIS PREIST, MARTEN VAN TOL, "International Conference on Information and Computation Economies", Adaptive Agents in a Persistent Shout Double Auction, (c) 1999, Pages 2.	

Examiner
Signature

W. W.

Date
Considered

1-8-04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

#9



US Department of Commerce
Patent and Trademark Office

Form PTO-1449 (Modified)

Atty. Docket No.:

3801P001C3

Application No.:

09/777,306

Applicant:

Hess et al.

Filing Date:

February 5, 2001

RECEIVED

FEB 10 2003

US Patent Documents

Technology Center 2600

Examiner's Initials	Date	Document Number	Name	Class	Sub- Class	Filing Date
✓.	09/07/99	5,948,061	Merriman			
✓.	10/03/00	6,128,649	Smith et al.			
✓.	05/16/00	6,065,041	Lum et al.			
✓.	07/31/01	6,269,238 B1	Iggulden			
✓.	05/30/00	6,070,125	Murphy et al.			
✓.	11/16/99	5,986,662	Argiro et al.			

Foreign Patent Documents

Examiner's Initials	Date	Document Number	Country	Class	Translation

Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)

✓.	International Search Report, PCT/US01/18225, mailed 09/05/01

Examiner

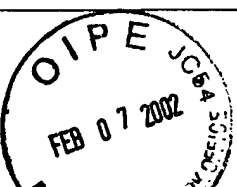
✓. ✓.

Date Considered

1-2-04

Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through the citation if not in conformance and not considered. Include a copy of this form with the next communication to the applicant

#8

Substitute for Form 1449A/PTO (Modified) (use as many sheets as necessary) Page 1 of 3		Attorney Docket No.: 3801P001C3	Application Number: 09/777,306
		First Named Inventor:	Hess, et al.
		Filing Date:	February 5, 2001

U.S. PATENT DOCUMENTS

Exam. Initial*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Code ²	Kind (If known)			
W.		4,864,516		Gaither et al.	09-05-1989	
		5,205,200		Wright	04-27-1993	
		5,485,510		Colbert	01-16-1996	
		5,557,728		Garrett et al.	09-17-1996	
		5,596,994		Bro	01-28-1997	
		5,598,557		Doner et al.	01-28-1997	
		5,657,389		Houvener	08-12-1997	
		5,694,546		Reisman	12-02-1997	
		5,706,457		Dwyer et al.	01-06-1998	
		5,715,314		Payne et al.	02-03-1998	
		5,722,418		Bro	03-03-1998	
		5,771,291		Newton et al.	06-23-1998	
		5,771,380		Tanaka et al.	06-23-1998	

FOREIGN PATENT DOCUMENTS


Exam. Initial*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³ Code ⁵	Number ⁴	Kind (If known)				
W.		WIPO	WO 95/17711	A1	Diacom Technologies, Inc.	06-29-1995		
W.		WIPO	WO 99/63461	A1	Dinwoodie, David	12-09-1999		
W.		WIPO	PCT/US 00/17136	Int'l. Search Report	eBay, Inc.	11-16-2000		
W.		WIPO	PCT/US 01/12398	Int'l. Search Report	eBay, Inc.	08-27-2001		

Examiner Signature	<i>V. W</i>	Date Considered	1-2-04
--------------------	-------------	-----------------	--------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

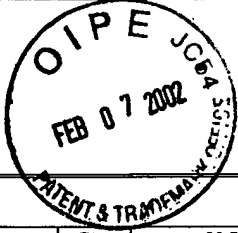
Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Substitute for Form 1449A/PTO (Modified) (use as many sheets as necessary) Page 2 of 3				Attorney Docket No.: 3801P001C3		Application Number: 09/777,306	
				First Named Inventor: Hess, et al.			
				Filing Date: February 5, 2001			
U.S. PATENT DOCUMENTS							
Exam. Initial*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		Number Code ²	Kind (If known)				
✓✓.		5,799,285		Klingman	08-25-1998		
		5,803,500		Mossberg	09-08-1998		
		5,845,265		Woolston	12-01-1998		
		5,872,848		Romney et al.	02-16-1999		
		5,873,069		Reuhl et al.	02-16-1999		
		5,884,056		Steele	03-16-1999		
		5,890,138		Godin et al.	03-30-1999		
		5,905,974		Fraser et al.	05-18-1999		
		5,905,975		Ausubel	05-18-1999		
		5,922,074		Richard et al.	07-13-1999		
		5,924,072		Havens	07-13-1999		
		5,926,794		Fethe	07-20-1999		
		5,974,412		Hazlehurst et al.	10-26-1999		
		5,991,739		Cupps et al.	11-23-1999		
		6,035,288		Solomon	03-07-2000		
		6,035,402		Vaeth et al.	03-07-2000		
		6,044,363		Mori et al.	03-28-2000		
		6,055,518		Franklin et al.	04-25-2000		
		6,058,417		Hess et al.	05-02-2000		
↓		6,073,117		Oyanagi et al.	06-06-2000		
OTHER ART - NO PATENT LITERATURE DOCUMENTS							
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published				Translation ²	
Examiner Signature	✓. ✓w				Date Considered	1-2-04	

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Substitute for Form 1449A/PTO (Modified) (use as many sheets as necessary) Page 3 of 3			Attorney Docket No.: 3801P001C3		Application Number: 09/777,306	
			First Named Inventor: Hess, et al.			
			Filing Date: February 5, 2001			
U.S. PATENT DOCUMENTS						
Exam. Initial*	Cite No. ¹	U.S. Patent Document Number Code ²	Kind (If known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
✓✓.		6,104,815		Alcorn et al RECEIVED FEB 08 2002 Technology Center 2100	08-15-2000	
OTHER ART - NO PATENT LITERATURE DOCUMENTS						
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published				Translation ²
✓✓.		BUSINESS EDITORS, "Mediappraise: Mediappraise Receives National Award for Web-Based Technology That Enables Companies to Solve Thorny HR Problems," 12/14/98, 2 pgs., www.businesswire.com .				
✓✓.		MEADE, J., "Visual 360: A Performance Appraisal System That's 'Fun' (Evaluation)," HRMagazine, 44, 7, 2 pgs., July 1999, Society for Human Resource Management.				
✓✓.		PREIST, C., et al., "Adaptive Agents in a Persistent Shout Double Auction," Proceedings, 1 st International Conf. on Information and Computation Economies, October 25-28, 1998, pgs. 11-18, Charleston, N.C.				
✓✓.		RESNICK, P., et al., "Reputation Systems," December 2000, Assoc. for Computing Machinery, Communications of the ACM, vol. 43, n. 12, 4 pgs.				
✓✓.		DIALOG WEB, "ON SALE: ON SALE brings Thrill of Auctions and Bargain Hunting Online. Byline: Business Editors/Computer Writers, May 24, 1995. http://www.dialogweb.com/cgi/dwclient?dwcommand=DWEBPRINT%20810-489267 .				
Examiner Signature	✓. ✓✓				Date Considered	1-2-04

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

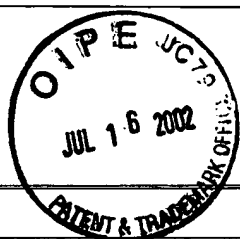
Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

#10

Substitute for Form 1449A/PTO (Modified)
(use as many sheets as necessary) Page 1 of 3

Attorney Docket No.:
3801P001C3

Application Number:
09/777,306



First Named Inventor:

Hess et al.

Filing Date:

February 5, 2001

U.S. PATENT DOCUMENTS

Exam. Initial*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (If known)			
✓✓		5,790,790		Smith et al.	08/04/1998	
✓✓		5,845,265		Woolston	12/01/1998	
✓✓		6,047,264		Fisher et al.	04/04/2000	
✓✓		6,061,448		Smith et al.	05/09/2000	
✓✓		6,085,176		Woolston	07/04/2000	
✓✓		6,119,137		Smith et al.	09/12/2000	
✓✓		US 6,178,408	B1	Copple et al.	01/23/2001	
✓✓		US 6,192,407	B1	Smith et al.	02/20/2001	
✓✓		US 6,202,051	B1	Woolston	03/13/2001	
✓✓		US 6,243,691	B1	Fisher et al.	06/05/2001	

FOREIGN PATENT DOCUMENTS

Exam. Initial*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T6
		Office ³ Code ⁵	Number ⁴	Kind (If known)				

Examiner
Signature

U. ✓✓

Date Considered

1-2-04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

2

09/777,306

US Department of Commerce Patent and Trademark Office Form PTO-1449 (Modified)			Atty. Docket No.: 003801.P001C3		Application No.: Not yet assigned	
			Applicant: Hess et al.			
			Filing Date: Concurrently herewith			

09/777,306
 U.S. Pat. & Tm. Off.
 02/05/01

US Patent Documents							
Examiner's Initials	Date	Document Number	Name	Class	Sub-Class	Filing Date	
✓✓.	08/11/98	5,794,216	Brown	705	27	7/14/95	
✓✓.	04/07/98	5,737,599	Rowe et al.	395	615	12/7/95	
✓✓.	03/16/99	5,884,056	Steele	395	339	12/28/95	
✓✓.	06/23/98	5,771,380	Tanaka et al.	395	615	10/7/96	
✓✓.	01/06/98	5,706,457	Dwyer et al.	395	349	6/7/95	
✓✓.	01/28/97	5,598,557	Doner et al.	395	605	9/22/92	
✓✓.	09/17/96	5,557,728	Garrett et al.	395	157	11/22/94	
Foreign Patent Documents							
Examiner's Initials	Date	Document Number	Country	Class	Translation		
✓✓.	08/13/98	WO 98/35468	Patent Cooperation Treaty	H04L			
✓✓.	09/29/94	WO 94/22108	Patent Cooperation Treaty	G06K 9/36, 9/46			
Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)							
✓✓.		Yahoo Auctions Website, downloaded 10/23/98 from http://auctions.yahoo.com					
✓✓.		Onsale Auction Website, downloaded 10/23/98 from http://www.onsale.com					
✓✓.		Netgrocer Website, downloaded 10/23/98 from Website http://www.netgrocer.com					
✓✓.		Auction Universe Website, downloaded 10/23/98 from http://www.auctionuniverse.com					
✓✓.		European Patent Office Search Report, RS 102472 US, 4 pages.					
✓✓.		Hong et al, "Multilingual Information Retrieval System", Multimedia Storage and Archiving Systems, Nov. 18-19, 1996.					
✓✓.		Liepins et al, "A Browser Based Image Bank, Useful Tool or Expensive Toy", MEDNET97, November, 1997.					
✓✓.		Mohan, "Text-Based Search of TV News Stories", Multimedia Storage and Archiving Systems, Nov. 18-19, 1996.					
Examiner V. ✓✓			Date Considered 1-2-04				

Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through the citation if not in conformance and not considered. Include a copy of this form with the next communication to the applicant

09/777,306

US Department of Commerce Patent and Trademark Office Form PTO-1449 (Modified)			Atty. Docket No.: 003801.P001C3		Application No.: Not Yet Assigned	
			Applicant: Hess et al.			
			Filing Date: Concurrently Herewith			

JC9711 U.S. PTO
 09/777306
 02/05/01

US Patent Documents							
Examiner's Initials	Date	Document Number	Name	Class	Sub-Class	Filing Date	
✓✓	12/02/97	5,694,546	Reisman	395	200	5/31/94	
✓✓	09/05/89	4,864,516	Gaither et al.	364	518	3/10/86	
✓✓	06/02/98	5,760,917	Sheridan	358	442	9/16/96	
✓✓	08/11/98	5,794,219	Brown	705	37	2/20/96	
✓✓	08/18/98	5,796,395	deHond	345	331	3/11/97	
✓✓	11/10/98	5,835,896	Fisher et al	705	37	03/29/96	
✓✓	03/30/99	5,890,138	Godin et al.	705	26	08/26/96	
✓✓	12/26/00	6,167,382	Sparks et al.	705	26	06/01/98	
✓✓	07/07/98	5,778,367	Wesinger, Jr. et al.	707	10	12/14/95	
Foreign Patent Documents							
Examiner's Initials	Date	Document Number	Country	Class	Translation		
Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)							
✓✓		PCT/US99/18510 date mailed 10/25/99					
✓✓		Auctiva Showcase, downloaded 01/15/01 from http://www.auctiva.com					
✓✓		AuctionWatch.com, downloaded 01/15/01 from http://www.auctionwatch.com					
Examiner	V. ✓✓	Date Considered 1-2-04					

Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through the citation if not in conformance and not considered. Include a copy of this form with the next communication to the applicant